

MEMBER SCHEME STANDARD

TŌTIKA

23 AUGUST 2021 – VERSION 2.0

CHHSNZ

CONSTRUCTION HEALTH AND SAFETY NZ
Kia hauora, kia haumaru ngā mahi waihanga

AMENDMENTS

Version	Date	Name	Details
0.1	5 June 2020	J Harper-Slade	<ul style="list-style-type: none"> Final exposure draft
0.2	23 June 2020	J Harper-Slade	<ul style="list-style-type: none"> Minor spelling mistakes and word omissions.
1.0	1 July 2020	J Harper-Slade	<ul style="list-style-type: none"> Stakeholder feedback changes: Remove Cat 3 Supplier on-site assessment requirements Amendment to BCP requirements Amendment to competency requirements for assessors and moderators Addition of requirements for assessors to address scalability for small business assessments Scoping the scheme to cover assessments for suppliers of construction services only.
1.0.1	24 February 2021	J Harper-Slade	<ul style="list-style-type: none"> Corrected an error with the bullet point list on Page 20. No content changed.
1.1	27 April 2021	J Harper-Slade	<ul style="list-style-type: none"> Added clause numbering Updated NZISM membership gradings and associated web links Removed the limitation of assessment to construction suppliers only. Amended member scheme data reporting requirements

2.0	23 August 2021	J Harper-Slade	<ul style="list-style-type: none">• Removed Gold, Silver, Bronze grading for member schemes.• Added clauses for confidentiality and impartiality• Added a standardised scoring process for member scheme assessments.• Standardised the term H&S Prequal.
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AMENDMENTS	2
FOREWORD.....	5
INTRODUCTION	5
SCOPE AND PURPOSE.....	8
H&S PREQUAL ASSESSMENT SCHEME MANAGEMENT SYSTEM POLICY	9
ROLES, RESPONSIBILITIES, AND AUTHORITIES.....	10
PLANNING	11
SUPPORT.....	14
OPERATION OF THE H&S PREQUAL ASSESSMENT SCHEME	24
PERFORMANCE EVALUATION	30
AUDIT AND REVIEW	31
IMPROVEMENT	33

FOREWORD

1. Construction Health and Safety New Zealand Trust (CHASNZ) is a registered charitable trust that has been formed to be the peak body to represent on matters of health and safety across the whole of the New Zealand construction industry. A key role of CHASNZ is, where it is appropriate, to set standards relating to health and safety for the New Zealand construction industry.
2. The work of preparing New Zealand construction industry occupational health and safety (OH&S) standards is normally carried out through industry project groups lead by the CHASNZ senior management team. Industry project groups are convened by CHASNZ and have appropriate stakeholder representation relevant to the subject. All projects delivered by CHASNZ involve a consultation process with wider industry prior to implementation.
3. Any trade name used in this document is information provided for the benefit of industry and does not form an endorsement of any kind.

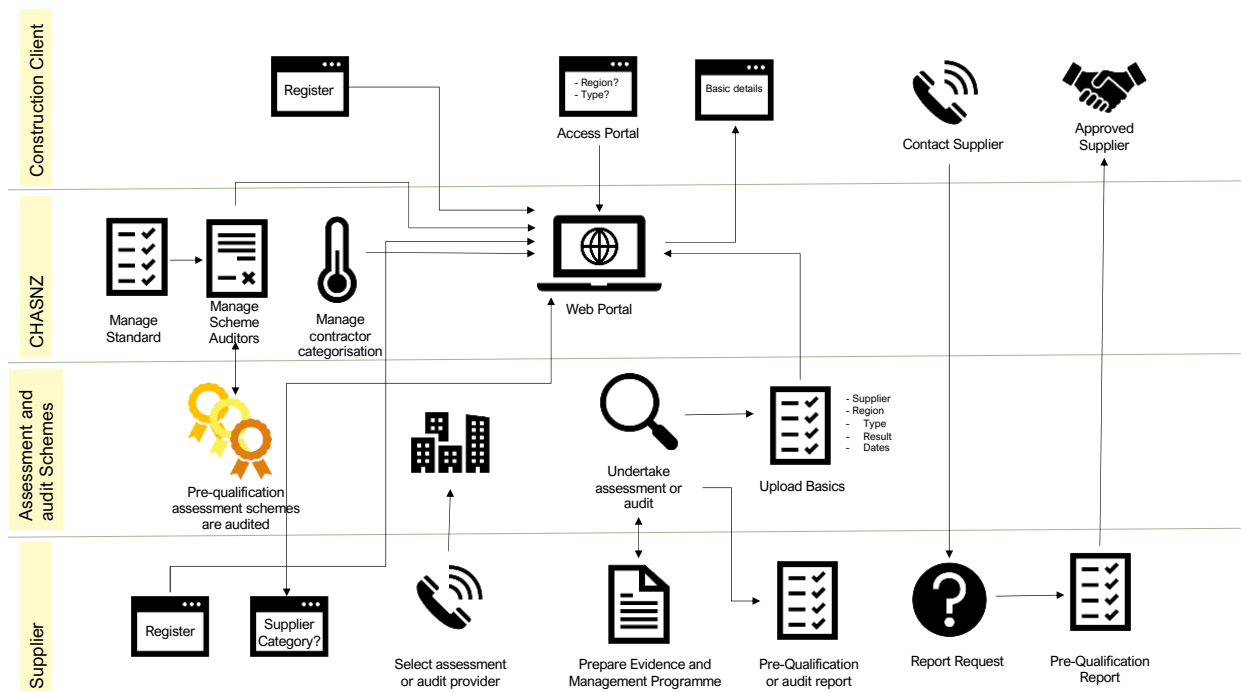
INTRODUCTION

BACKGROUND

4. Health and Safety Prequalification (H&S Prequal) is a common element to most organisation's OH&S management systems and in turn procurement processes.
5. Buyers of services are numerous and various across New Zealand. Inconsistency of application of H&S Prequal produces unnecessary costs, confusion, repetition, and duplication of effort throughout the supply chains.
6. The adoption of a H&S Prequal system is intended to enable an organisation to have assurance that suppliers provide safe and healthy workplaces, prevent work-related injury and ill health, and continually improve their OH&S performance.

TŌTIKA STRUCTURE

7. The following is an overview of Tōtika, showing the main participants and how they interact with the scheme.
8. This document is a standard for H&S Prequal assessment schemes.
9. H&S Prequal assessment schemes may be:
 - 9.1. Commercial schemes where suppliers pay a fee to the scheme and in return the supplier's health and safety management programme is assessed to the relevant core requirements appropriate to that supplier. Buyers tend to subscribe to the commercial scheme either through commercial arrangement or membership.
 - 9.2. Internal schemes where a buyer controls the H&S Prequal assessment of its suppliers utilising either internal systems and/or resources, or outsourced systems and/or resources.



AIM OF AN H&S PREQUAL ASSESSMENT SYSTEM

10. The purpose of an H&S Prequal assessment system is to provide a standardised approach for verifying supplier OH&S management approaches. The aim and intended outcomes of the H&S Prequal assessment system are to provide buyers of services with a list of suppliers that have systems which will aid prevention of work-related injury and ill health to workers and provision of safe and healthy workplaces.
11. H&S Prequal systems are usually adopted by buyers as internally operated systems or externally operated commercial H&S Prequal services.
12. It is a Tōtika requirement for any H&S Prequal scheme (either internal or external) to be recognised as part of Tōtika (as a 'Member Scheme') that it must be audited by the scheme certification body to the requirements of this standard.
13. It is consequently important that buyers have augmenting processes as part of supplier selection for checking a supplier organisation possesses enough capacity to eliminate hazards and minimize OH&S risks by taking effective preventive and protective measures specific to the services being procured.
14. It is intended that H&S Prequal is an initial assurance process to allow buyers to identify suppliers to receive opportunities to tender for work. It is expected that more specific OH&S assurance is carried out by the buyer as part of their specific procurement processes.

CONTENTS OF THIS DOCUMENT

15. This document contains requirements that can be used by an organisation to implement an H&S Prequal assessment management system and to assess conformity to the Tōtika standard to become a recognised Tōtika member scheme.
16. An organisation that wishes to demonstrate conformity to this standard can only do so by seeking certification/registration of its management system by the scheme certification body.
17. In this document, the following verbal forms are used:
 - 17.1. “shall” indicates a requirement.
 - 17.2. “should” indicates a recommendation.
 - 17.3. “may” indicates a permission.
 - 17.4. “can” indicates a possibility or a capability.

SCOPE AND PURPOSE**SCOPE**

18. This document specifies requirements for a H&S Prequal assessment management system, to enable organisations to provide a suitable H&S Prequal assessment scheme.
19. This document is applicable to any organisation that wishes to operate an H&S Prequal assessment (member) scheme for the Tötika scheme.
20. This document is applicable to any organisation operating a H&S Prequal assessment system whether it be internal or commercially delivered.
21. This document can be used in whole or in part to systematically improve H&S Prequal activities. However, claims of conformity to this standard are not acceptable unless it is independently audited by the certifying body to confirm that all its requirements are incorporated into an organisation's H&S Prequal assessment management system and fulfilled without exclusion.

PURPOSE

22. The purpose of this document is to provide a standard for the processes and systems required to be in place to allow Tötika member schemes to operate in a consistent and effective manner. It sets out policy, specifies desired outcomes, provides guidance on where to obtain additional information, and is the basis against which Tötika member schemes will be audited and certified.

H&S PREQUAL ASSESSMENT SYSTEM AND ITS PROCESSES

23. The member scheme shall establish, implement, maintain, and continually improve an H&S Prequal assessment management system, including the processes needed and their interactions, in accordance with the requirements of this document

H&S PREQUAL ASSESSMENT SCHEME MANAGEMENT SYSTEM POLICY

24. The member scheme shall establish, implement, and maintain a policy that:
- 24.1. includes a commitment to provide a fair, ethical, and equitable H&S Prequal assessment service.
 - 24.2. includes a commitment to treating all parties fairly, equitably and with respect.
 - 24.3. includes a commitment to fulfil legal requirements and other requirements.
 - 24.4. includes a commitment to continual improvement of the H&S Prequal assessment management system.
25. The policy shall:
- 25.1. be available as documented information.
 - 25.2. be communicated to all parties involved with the system.
 - 25.3. be available to interested parties, as appropriate.
 - 25.4. be relevant and appropriate.

ROLES, RESPONSIBILITIES, AND AUTHORITIES

GENERAL REQUIREMENTS

26. The member scheme shall ensure that the responsibilities and authorities for relevant roles within the member scheme are assigned and maintained as documented information.

NOTE While responsibility and authority can be assigned, ultimately the member scheme's top management is still accountable for the functioning of the H&S Prequal assessment management system.

27. Top management shall assign the responsibility and authority for:

- 27.1. ensuring that the H&S Prequal assessment management system conforms to the requirements of this document.
- 27.2. reporting on the performance of the H&S Prequal assessment management system to top management.
- 27.3. moderation of the H&S Prequal assessors.
- 27.4. individual assessment of H&S Prequal submissions.

STEERING GROUP

28. Tötika will oversee a steering group that will provide feedback into how the scheme is operating. The membership and terms of reference for the group shall be managed by Construction Health and Safety New Zealand Trust (CHASNZ).

29. Member schemes are not required to have their own steering group but may choose to do so.

THE ROLE OF THE H&S PREQUAL SCHEME

30. The scheme develops, administers, and manages H&S Prequal assessments. The scheme shall implement means to liaise directly with individual customers and shall periodically obtain feedback from customers.

PLANNING**ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES****GENERAL**

31. When planning for the H&S Prequal assessment management system, the member scheme shall consider:
- 31.1. the issues regarding context of the scheme,
 - 31.2. the requirements of interested parties
 - 31.3. and the scope of the H&S Prequal assessment management system
32. and determine the risks and opportunities that need to be addressed to:
- 32.1. give assurance that the H&S Prequal assessment management system can achieve its intended outcome(s).
 - 32.2. prevent, or reduce, undesired effects.
 - 32.3. achieve continual improvement.
33. When determining the risks and opportunities for the H&S Prequal assessment management system and its intended outcomes that need to be addressed, the member scheme shall consider:
- 33.1. the Tötika scheme rules.
 - 33.2. the Tötika core requirements.
34. The member scheme shall maintain documented information on:
- 34.1. risks and opportunities.
 - 34.2. the process(es) and actions needed to determine and address its risks and opportunities to the extent necessary to have confidence that they are carried out as planned.

PLANNING ACTION

35. The member scheme shall plan actions to:
- 35.1. address risks and opportunities.
 - 35.2. address legal requirements, Tötika requirements and other requirements.
 - 35.3. integrate and implement the actions into the H&S Prequal assessment management system processes or other business processes.
 - 35.4. evaluate the effectiveness of these actions.

36. The member scheme shall consider outputs from the H&S Prequal assessment management system when planning to act.
37. When planning its actions, the member scheme shall consider best practices, technological options, and financial, operational, and business requirements.

STRATEGIC PLAN

38. The member scheme shall develop a strategic plan. This plan shall outline:
 - 38.1. the direction the scheme will take over a 12-month period
 - 38.2. how the scheme will focus on continuous improvement of existing processes
39. The plan shall consider:
 - 39.1. Improvement of services to customers
 - 39.2. Operational improvement
 - 39.3. Enhancement of any technology platforms or portals which the scheme relies on.
40. The plan shall be approved by the member schemes top management and performance to the plan shall be monitored through periodic reporting.
41. The strategic plan shall be reviewed annually, and external parties may be used to provide input into the review process.

BUSINESS CONTINUITY PLAN

42. The member scheme shall document a business continuity plan. The purpose of the plan is to ensure the H&S Prequal assessment scheme can continue to deliver a good service to its customers should the member scheme be disrupted by an event.
43. The plan shall consider (but not be limited to considering) the following types of events:
 - 43.1. Natural Disasters
 - 43.2. Disruption to utilities (power, water, sewerage, etc.)
 - 43.3. Loss of IT systems
 - 43.4. Failure of a third-party supplier to provide services
 - 43.5. Loss of team members
 - 43.6. Loss of buildings/facilities
 - 43.7. Health emergencies
44. The plan shall consider the following aspects and contingencies:
 - 44.1. Communication with customers
 - 44.2. Core H&S Prequal assessment scheme functions and how they will be managed

- 44.3. Essential roles and skill sets needed to support core functions
- 44.4. Essential equipment and supplies
- 44.5. Relocation options
- 44.6. Delegations of authority

SUPPORT**RESOURCES**

45. The member scheme shall determine and provide the resources needed for the establishment, implementation, maintenance, and continual improvement of the H&S Prequal assessment management system.

COMPETENCE

46. The member scheme shall:

- 46.1. determine the necessary competence of workers that affects or can affect H&S Prequal assessment processes.
- 46.2. ensure that workers are competent based on appropriate education, training, or experience.
- 46.3. where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken.
- 46.4. retain appropriate documented information as evidence of competence.

NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons, or the hiring or contracting of competent persons.

TÖTIKA COMPETENCY REQUIREMENTS

47. The member scheme shall ensure that the Assessment Professionals (assessors and moderators) employed by them, to carry out H&S Prequal assessment within a Tötika H&S Prequal Assessment Scheme, have achieved the appropriate competency requirements.
48. To undertake assessments of suppliers to the required Tötika standard, Tötika has determined that Assessment Professionals shall have the appropriate competencies in the following four areas:
- 48.1. Occupational (technical OH&S knowledge)
 - 48.2. Assessment (vocational capability regarding assessments)
 - 48.3. Behavioural (appropriate aptitude and attitude for the work)
 - 48.4. Underpinning relevant/related skills, knowledge, and experience.

TÖTIKA ASSESSMENT PROFESSIONALS' COMPETENCY FRAMEWORK

49. The Tötika Scheme requires that Assessment Professionals (assessors and moderators), who deliver supplier H&S Prequal assessments have the vocational competencies, experience and qualifications outlined in Table 1 below.
50. Tötika Assessment Provider member schemes shall ensure that the Assessment Professionals (assessors and moderators) employed by them, to carry out H&S Prequal assessment within the



Member scheme standard

Tōtika H&S Prequal Assessment Provider Pathway, have achieved the appropriate competency requirements.

Table 1: Tōtika Assessor competency requirements

	Who and what basic competencies and professional membership?	How qualified? H&S Occupational Competency Training	H&S Knowledge and Work Experience	Assessor Vocational Delivery Competency Training	Assessment Experience and Currency
Tōtika Assessor	<p>The individual shall be recognised as a competent Tōtika Assessor and be an effective assessment team member.</p> <p>They must consistently demonstrate both H&S and assessment competencies underpinned by good assessment and behavioral practices.</p> <p>Shall be at least a practitioner level member (or equivalent) of a HASANZ full member organisation (e.g., PracNZISM).</p>	<p>As designated by NZISM requirements for Practitioner grading</p> <p>NZISM Qualifications and Experience required for Practitioner & Professional Grading</p>	<p>2000 hours of occupational health and safety practice in the last 3 years.</p>	<p>Completed an assessor/internal auditor training course through a reputable commercial training provider and refresh this training at least every 2 years.</p> <p>Achieved Unit Standard (US) 5619 Level 4 Auditing H&S Systems: Conduct an occupational health and safety management systems audit for a selected business.</p> <p>Completion of an ISO 45001 General Awareness Training Course</p>	<p>Assessors must have their assessment work actively assessed by the member scheme's own Internal Scheme Moderator.</p> <p>This must cover at least 10 supplier assessments for their first 6 months of being appointed.</p>

Table 2: Tōtika Moderator competency requirements

	Who and what basic competencies and professional membership?	How qualified? H&S Occupational Competency Training	H&S Knowledge and Work Experience	Vocational Delivery Competency Training	Experience and Currency
<p>Tōtika Internal Scheme Moderator The member scheme internal moderator ensures high quality assessments (systems / resources / processes / assessor approach), and consistency of assessor practice and decision-making. These are the requirements for the overall moderation owner and that other experienced and trained senior assessors can undertake moderation (under the processes owned by the moderation owner and with their oversight).</p>	<p>Possess 5+ years occupational H&S advisory/management experience. Be currently listed on the HASANZ register as a OH&S practitioner or professional or as part of their initial training process be prepared to commit to such membership within a reasonable timeframe, and to maintain/keep current the required competencies/experience for HASANZ registration.</p>	<p>As designated by NZISM requirements for Professional grading: NZISM Qualifications and Experience required for Practitioner & Professional Grading</p>	<p>4000 hours of occupational health and safety practice in the last 5 years</p>	<p>As above + completion of an ISO 45001 General Awareness Training Course.</p>	<p>Shall have at least 3 years assessment work experience as a Tōtika (or equivalent) Assessor. OR Have the equivalent gained from an overseas H&S H&S Prequal assessment body. OR provide CPD records and other evidence to demonstrate the equivalent New Zealand experience.</p>

ASSESSMENT OF ASSESSORS – SCHEME REQUIREMENTS

GOOD PROCESS – ASSESSOR CAPABILITY TO DELIVER ASSESSMENTS

52. All Assessors working within a member scheme, who are appointed to undertake a supplier assessment, which when initially assessed, is shown to be beyond their current competency and skill, knowledge, and experience level (depending on the supplier scale/work sector and associated risk level) must escalate to a more experienced colleague/manager for action (via the Internal Moderator who is overseeing their assessment team).
53. Tötika member schemes must have at least one Internal Moderator within their organisation, to oversee such matters and ensure robust/appropriate/fair assessment practices are in place.
54. Internal Moderator activities shall also drive Assessor capability development, training, and currency of qualification/CPD. They shall be both occupationally and vocationally competent and highly experienced / qualified Assessors before becoming Internal Systems Moderator's (refer Tables 1 and 2).

PROFESSIONAL MEMBERSHIP AND DEVELOPMENT PATHWAY

55. It is required that Assessment Professionals undertaking the role of Assessors and Moderators must currently be technician members of NZISM (or equivalent) or, as part of their initial training process, be prepared to commit to such membership (and, in all cases, to maintaining / keeping current the required competencies/experience for their chosen membership).
56. This shall be demonstrated at the following levels:
- 56.1. Assessor**
A practitioner level member of NZISM or equivalent.
- 56.2. Internal Moderator**
Current registration on the HASANZ register (Practitioner / Professional).

ASSESSORS AND INTERNAL MODERATORS

57. Assessors and Moderators must undertake certified training in accordance with Tables 1 and 2 to meet the following (as appropriate to the member scheme level they operate in):
- 57.1. Appropriate Assessor/Auditor Training as stated.
- 57.2. Unit Standard (US) 5619 Level 4 Auditing H&S Systems, having undertaken a recognised course on Auditing Health and Safety Systems to meet the Unit Standard, where Table 1 & 2 state it's appropriate.
- 57.3. Assessment of practical delivery and behavioural Competencies.
- 57.4. Assessors/Evaluators and Moderators (outside of the qualifications held and the training undertaken) must be able to practically demonstrate vocational competency and behavioural good practice in the following:

BUSINESS CONTEXT

57.4.1. Demonstrating understanding of organisational context and practical scale requirements within the organisation being assessed/evaluated.

RELATIONSHIP MANAGEMENT

57.4.2. Ensuring a positive, appropriate and professional approach at all touch points with the organisation being assessed/evaluated, and all related stakeholders

WRITTEN AND ORAL COMMUNICATION

57.4.3. Clear communication in a manner which all suppliers/buyers/stakeholders can reasonably understand.

FLEXIBILITY IN ASSESSMENT AND EVALUATION APPROACHES

57.4.4. Depending on the organisational context and requirements, adapting their review, assessment, recording and evaluation processes (e.g., interviews, research and system/process checking), reporting and feedback accordingly (e.g., structural, and operational scale/systems requirements for Corporate entities, shall be different to Small and Medium entities or Community businesses)

FAIR AND ETHICAL DECISION-MAKING AND JUDGEMENT

57.4.5. To ensure fair, transparent, ethical, and equitable assessment/evaluation approaches and decisions are made.

LEAD-BY-EXAMPLE

57.4.6. Whether in Assessor and/or Moderator roles, working collaboratively and effectively with colleagues, planning, assessing, and applying appropriate team resources and approaches to the different stakeholders, systems and evaluation/assessment opportunities, maintaining boundaries and mitigating any potential conflicts of interest and risks.

57.4.7. When Assessors first join the member scheme they shall be regarded as 'Probationary Assessors' and shall follow the Assessor Competency and Training requirements under the guidance of the member scheme.

57.4.8. The member scheme shall specify the probationary period for assessors, which may include different requirements for different categories of supplier assessment.

57.4.9. Member schemes shall have documented internal training and competency processes and procedures to account for the different categories of suppliers being assessed.

57.4.10. The internal moderator shall be responsible and accountable for approving assessor competencies and deciding when assessors move out of their probationary periods. This shall be documented and recorded.

AWARENESS

58. Assessors and moderators shall be made aware of:

58.1. the H&S Prequal system policy and objectives.

- 58.2. their contribution to the effectiveness of the H&S Prequal assessment management system.
- 58.3. the implications and potential consequences of not conforming to the H&S Prequal assessment management system requirements.

SCALABILITY FOR SMALL BUSINESS ASSESSMENTS

- 59. Assessors shall demonstrate the ability to understand that small businesses (specifically those allocated as Cat 2 or Cat 3) will not require the same complex documented systems that larger organisation require. There may be alternative ways in which small businesses can demonstrate how they meet the core requirements without necessarily having comprehensive documented systems and processes.
- 60. Assessors shall demonstrate empathy and understanding regarding small businesses and the context in which they operate.

COMMUNICATION

GENERAL

- 61. The member scheme shall establish, implement, and maintain the process(es) needed for the internal and external communications relevant to the H&S Prequal assessment management system, including determining:
 - 61.1. on what it will communicate.
 - 61.2. when to communicate.
 - 61.3. with whom to communicate:
 - 61.3.1. internally among the various levels and functions of the system.
 - 61.3.2. among other interested parties.
 - 61.4. how to communicate.
- 62. The member scheme shall consider diversity aspects (e.g., gender, language, culture, literacy, disability) when considering its communication needs.
- 63. The member scheme shall ensure that the views of external interested parties are considered in establishing its communication process(es).
- 64. When establishing its communication process(es), the member scheme shall:
 - 64.1. consider its legal requirements and other requirements.
 - 64.2. ensure that information to be communicated is consistent with information generated within the H&S Prequal assessment management system and is reliable.
 - 64.3. The member scheme shall respond to relevant communications on its H&S Prequal assessment management system.
 - 64.4. The member scheme shall retain documented information as evidence of its communications, as appropriate.

INTERNAL COMMUNICATION

65. The member scheme shall:

- 65.1. Internally communicate information relevant to the H&S Prequal assessment management system among the moderator(s) and assessor(s), including changes to the H&S Prequal assessment management system, as appropriate.
- 65.2. Ensure its communication process(es) enables moderators and assessors to contribute to continual improvement.

EXTERNAL COMMUNICATION

66. The member scheme shall externally communicate information relevant to the H&S Prequal assessment management system, as established by the member scheme's communication process(es) and considering the Tötika scheme rules.

DOCUMENTED INFORMATION**GENERAL**

67. The member scheme's H&S Prequal assessment management system shall include:

- 67.1. Documented information required by this standard.
- 67.2. Documented information determined by the member scheme as being necessary for the effectiveness of the H&S Prequal assessment management system.

NOTE The extent of documented information for an H&S Prequal assessment management system can differ from one organisation to another due to:

- *the size of organisation.*
- *the need to demonstrate fulfilment of other requirements; and*
- *the complexity of processes and their interactions.*

CREATING AND UPDATING

68. When creating and updating documented information, the member scheme shall ensure appropriate:

- 68.1. identification and description (e.g., a title, date, author, or reference number).
- 68.2. format (e.g., language, software version, graphics) and media (e.g., paper, electronic).
- 68.3. review and approval for suitability and adequacy.

CONTROL OF DOCUMENTED INFORMATION

69. Documented information required by the H&S Prequal assessment management system and by this document shall be controlled to ensure:

- 69.1. it is available and suitable for use, where and when it is needed.
- 69.2. it is adequately protected (e.g., from loss of confidentiality, improper use, or loss of integrity).

70. For the control of documented information, the member scheme shall address the following activities, as applicable:

- 70.1. distribution, access, retrieval, and use.
- 70.2. storage and preservation, including preservation of legibility.
- 70.3. control of changes (e.g., version control).
- 70.4. retention and disposition.
- 70.5. Documented information of external origin determined by the member scheme to be necessary for the planning and operation of the H&S Prequal assessment management system shall be identified, as appropriate, and controlled.

NOTE - Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

OPERATION OF THE H&S PREQUAL ASSESSMENT SCHEME

OPERATIONAL PLANNING AND CONTROL

GENERAL

71. The member scheme shall plan, implement, control and maintain the processes needed to meet the Tötika operational requirements and to implement the actions determined in planning activities by:
- 71.1. following the Tötika core criteria (including any identified anchor points) for the assessment processes.
 - 71.2. implementing control of the assessment processes in accordance with the scheme rules.
 - 71.3. maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned.
 - 71.4. issuing standardised assessment reports to suppliers who have been assessed.

MANAGEMENT OF CHANGE

72. The member scheme shall establish a process(es) for the implementation and control of planned temporary and permanent changes that impact the member scheme, including:
- 72.1. new products, services and processes, or changes to existing products, services, and processes, including:
 - 72.1.1. workplace locations and surroundings.
 - 72.1.2. work organisation.
 - 72.1.3. working conditions.
 - 72.1.4. equipment.
 - 72.1.5. workforce.
 - 72.2. changes to Tötika requirements.
 - 72.3. developments in knowledge and technology.
73. The member scheme shall review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

NOTE: Changes can result in risks and opportunities.

PROCUREMENT

GENERAL

74. The member scheme shall establish, implement, and maintain a process(es) to control the procurement of products and service relevant to the H&S Prequal scheme.

OUTSOURCING

75. The member scheme shall ensure that outsourced functions and processes in relation to the member scheme are controlled. The member scheme shall ensure that its outsourcing arrangements are consistent with the requirements of this document and Tōtika scheme rules.

H&S PREQUAL ASSESSMENT OPERATIONS

INITIAL SUPPLIER INFORMATION

76. Member schemes shall provide suppliers with comprehensive and clear information about the H&S Prequal process they are required to undertake.

ASSESSMENT SCORING

77. Member schemes shall apply a **0-4 scoring system** against all elements of the core requirements:

Question Score	Description
0	No evidence provided
1	Evidence provided not adequately related to or answering the question
2	Evidence provided relates to the question but does not meet the Tōtika Performing standard
3	Evidence provided meets the Tōtika Performing Standard
4	Evidence provided exceeds the Tōtika Performing Standard

78. The above scoring process allows each question, and therefore each section, and the overall prequalification percentages to be provided (based on quartiles at a question level).

79. The use of the score of 4 is to provide recognition of excellence – this is where a contractor is going above and beyond what was set as the Tōtika Performing score.

80. To meet the Tōtika ‘Performing’ Standard, contractors shall score 3 in every applicable question of the core requirement which would provide an average score of 75%. It is possible for a supplier to achieve an average of 75% or higher without achieving a score of at least 3 in each question; in that case the supplier will be graded as ‘Developing’.

81. Member schemes are required to set anchors for each question aligned to the core requirements. Further guidance is provided in the supporting scheme documents.

CONTRACTOR ENGAGEMENT

82. Member schemes shall provide suppliers with help, support, and guidance with the assessment process.
83. Member schemes shall ensure resources are provided to enable suppliers to receive support by email and telephone.

FOLLOW UP WITH CONTRACTORS

84. The scheme shall have appropriate processes and procedures to track and monitor registration and progress of each supplier they are assessing. This should include communicating with the supplier to remind them of deadlines or milestones relative to their assessment.

SUPPLIER RESUBMISSIONS

85. The member scheme shall provide reasonable opportunities for suppliers to resubmit assessment evidence to the member scheme before a final assessment outcome is decided.
86. From the point the member scheme has clearly communicated the need to resubmit assessment evidence, the scheme must provide at least 7 working days for the supplier to respond.
87. Member scheme assessors shall clearly explain the reasons why a resubmission of assessment evidence is required.
88. If the contractor resubmits information, the member scheme shall reassess the new evidence.

FINAL ASSESSMENT

89. The member scheme shall ensure that the following is applied to finalising supplier assessments:
 - 89.1. Immediate notification to the supplier that the assessment is complete.
 - 89.2. Make the finding of the assessment available to the supplier in a clear format.

ASSESSMENT MODERATION

90. The member scheme shall:
 - 90.1. Ensure all moderation is carried out by the member scheme appointed moderator (ensuring that moderator meets the competency requirements required by this standard).
 - 90.2. Select at least 5% of total finalised assessments for moderation.
 - 90.3. Randomly select assessments for moderation.
 - 90.4. Document the findings of moderation activity including any identified variation in assessment outcome.
 - 90.5. Provide an appropriate learning and improvement process to ensure suitable feedback is provided to the Assessor.

H&S PREQUAL ASSESSMENT REPORTS

91. Member scheme assessment reports shall include the following information as a minimum:

- 91.1. The overall result (meets/does not meet the Tötika core requirements).
- 91.2. Any proprietary assessment score applied by the member scheme.
- 91.3. Assessor comments and feedback for each assessment question asked.

92. This assessment report shall be made available to the supplier in a format that is easy for them to share with any buyer of their choice.

TÖTIKA ASSESSMENT STATUS

93. Member schemes shall communicate the requirement to suppliers for them to register on to the [Tötika Portal](#) either prior to or after assessment.

94. All suppliers assessed as meeting the Tötika core requirements for their supplier category must have the findings of the assessment recorded in the Tötika portal.

95. Supplier information required to be updated/added to the Tōtika portal by the member scheme shall be:

- 95.1. NZBN
- 95.2. Contractor Category
- 95.3. Contractor status
- 95.4. Assessment expiry
- 95.5. Contractor score (see clause 77)

96. Member H&S Prequal assessment schemes shall either:

- 96.1. Update the information manually using their own allocated Tōtika portal log-in; or
- 96.2. Arrange with Tōtika to set up an automated information transfer service with the portal.

INSURANCE MONITORING

97. Tōtika does not require member schemes to provide insurance monitoring services, although it is appreciated member schemes may provide this service to their customers.

COMPLAINTS AND ISSUES RESOLUTION

98. All members schemes shall document and operate an appropriate system for handling supplier complaints. This shall include:

- 98.1. A clear mechanism for suppliers to make a complaint.
- 98.2. A mechanism for documenting supplier complaints and recording issue resolutions.
- 98.3. Information to suppliers on how they may escalate complaints to Tōtika if the member scheme is unable to resolve the complaint to the supplier's satisfaction.

IMPARTIALITY

99. The member scheme shall have a process to manage impartiality of its pre-qualification activities and shall not allow commercial, financial, or other pressures to compromise impartiality.

100. An impartiality policy shall be available and endorsed by the member scheme organisations top management.

101. The member scheme will have a process to identify, analyse, evaluate, treat, monitor, and document risks relating to conflicts of interest that arise from provision of pre-qualification activities. Identified treats to impartiality shall be documented in a risk register with treatments to eliminate or minimise such treats. Inherent and residual risk assessment will be completed for all identified risks and recorded on the risk register. Management will review the risk register at least annually or if a new risk is identified. This review shall be documented.

102. The member scheme shall not outsource their prequalification services. This relates to the entire delivery or management of the pre-qualification scheme. Partial services like operation and management of the software platform or buying in resources via contract for assessments are excluded from this clause.

103. The member scheme shall not imply pre-qualification will be easier, simpler, or result in an elevated grading or score if the supplier uses or procures the member scheme's other services.
104. The member scheme shall ensure that if they provide consultancy services to a supplier, that there is a clear separation between that service and the independence of the supplier assessment.
105. There must be a process to ensure all member scheme management and employees declare any conflict of interest that they may have with a supplier that has requested prequalification services.

CONFIDENTIALITY

106. The member scheme shall have a confidentiality policy that will be provided to all suppliers. The policy shall address the following:
- 106.1. Management of all information and data obtained or created throughout the pre-qualification process.
 - 106.2. A requirement to inform and seek written approval from the supplier prior to release of any information to another party.
 - 106.3. Information about the supplier from sources other than the supplier (e.g., complainant, regulators) shall be treated as confidential.
 - 106.4. Member scheme personnel shall keep confidential all information obtained from the pre-qualification activities.
 - 106.5. A requirement to inform the supplier of any breaches of confidentiality including the actions taken to minimise its impact.
107. The member scheme directors, management, employees, committee members shall have an individual signed confidentiality agreement.

PERFORMANCE EVALUATION**MONITORING, MEASUREMENT, ANALYSIS AND PERFORMANCE EVALUATION****GENERAL**

108. The member scheme shall establish, implement, and maintain a process for monitoring, measurement, analysis, and performance evaluation of the H&S Prequal system.
109. The member scheme shall determine:
- 109.1. what needs to be monitored and measured, including:
 - 109.1.1. the extent to which Tötika requirements are fulfilled.
 - 109.1.2. its activities and operations related to H&S Prequal assessment.
 - 109.1.3. progress towards achievement of the member scheme objectives.
 - 109.1.4. effectiveness of operational controls.
 - 109.2. the methods for monitoring, measurement, analysis, and performance evaluation, as applicable, to ensure valid results.
 - 109.3. the criteria against which the member scheme will evaluate its H&S Prequal system performance.
 - 109.4. when the monitoring and measuring shall be performed.
 - 109.5. when the results from monitoring and measurement shall be analysed, evaluated, and communicated.
110. The member scheme shall evaluate its own performance and determine the effectiveness of the H&S Prequal assessment management system.
111. The member scheme shall retain appropriate documented information regarding its measurement and monitoring of the system.

EVALUATION OF COMPLIANCE

112. The member scheme shall establish, implement, and maintain a process(es) for evaluating compliance with this document and scheme rules.
113. The member scheme shall:
- 113.1. determine the frequency and method(s) for the evaluation of compliance.
 - 113.2. evaluate compliance and act if needed.
 - 113.3. maintain knowledge and understanding of its compliance status with this standard and other Tötika requirements.
 - 113.4. retain documented information of the compliance evaluation results.

AUDIT AND REVIEW

INTERNAL AUDIT

114. The member scheme shall conduct internal audits at planned intervals (at least annually) to provide information on whether the H&S Prequal assessment management system conforms to this document and other Tōtika requirements as a member scheme.

MANAGEMENT REVIEW

115. The member scheme shall conduct a review of the H&S Prequal assessment management system annually.
116. The review should be carried out by the member scheme organisation's top management and can be part of a broader organisation management review.

EXTERNAL AUDIT

117. Member schemes shall demonstrate conformity to this standard and can only do so by seeking certification/registration of its H&S Prequal management system by the scheme Certification Body.
118. The Certification Body auditors are to be trained and competent in the Tōtika scheme requirements.
119. Member schemes shall be audited initially as part of the process for becoming a Tōtika member scheme.
120. The audit programme is to be in line with the requirements of ISO 17021-1 and follow a two-stage initial audit process:
- 120.1. Stage 1 is to review the system documentation, confirm readiness for, and plan the Stage 2 audit.
 - 120.2. Stage 2 is to confirm implementation and effectiveness of the Quality Management System.
121. Audit times are to be established based on the number of staff in the organization following the requirements of 'International Accreditation Forum (IAF) [Mandatory Document \(MD\) 5 - Determination of audit time of Quality, Environmental and Occupation Health & Safety Management Systems](#) and Annex A – Quality Management Systems'.
122. For multi-site H&S Prequal members, site sampling is acceptable in line with the requirements detailed in [IAF MD 1](#).
123. Sufficient contractor files need to be assessed to provide confidence that the H&S Prequal process is consistently applied and effective. Schemes with identified major nonconformities (and new schemes) after external audit, shall be required to be externally audited in 12 months from the date of their current external audit.
124. Schemes with no identified major nonconformities shall be required to be externally audited in 24 months from the date of external audit.

MAJOR NONCONFORMANCE

125. Nonconformity that effects the capability of the management system to achieve the intended results.

126. There is significant doubt that effective process control is in place or that the service will meet specified requirements.
127. Several minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

MINOR NONCONFORMANCE

128. Nonconformity that does not affect the capability of the management system to achieve intended results.
129. Member schemes failing to close out major nonconformities within the prescribed timescale defined by the auditor will lose their Tötika member scheme status.
130. Any organisation that loses member scheme status will be required to undergo a further full external audit to gain recertification as a Tötika member scheme.

IMPROVEMENT**GENERAL**

131. The member scheme shall determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its H&S Prequal assessment management system.

NONCONFORMITY AND CORRECTIVE ACTION

132. The member scheme shall establish, implement, and maintain a process to determine and manage and nonconformities of the H&S Prequal system.
133. When a nonconformity occurs, the member scheme shall:
- 133.1. take action to correct it.
 - 133.2. review the nonconformity.
 - 133.3. determining the cause(s) of the nonconformity.
 - 133.4. determining if similar nonconformities exist, or if they could potentially occur.
 - 133.5. determine and implement any action needed.
 - 133.6. review the effectiveness of any corrective action.
 - 133.7. make changes to the H&S Prequal assessment management system, if necessary.
134. Corrective actions shall be appropriate to the effects or potential effects of the nonconformities encountered.
135. The member scheme shall retain documented information as evidence of:
- 135.1. the nature of nonconformities and any subsequent actions taken.
 - 135.2. the results of any action and corrective action, including their effectiveness.

CONTINUAL IMPROVEMENT

136. The member scheme shall continually improve the suitability, adequacy, and effectiveness of the H&S Prequal assessment management system, by:
- 136.1. enhancing system performance and efficiency.
 - 136.2. maintaining and retaining documented information as evidence of continual improvement.